



October 1, 2010

To: California Cities

Subject: CalGRIP Funding – Request for Proposal for the California Gang Reduction, Intervention and Prevention Program, 2010/11

The California Emergency Management Agency (Cal EMA), in partnership with the Governor's Office of Gang and Youth Violence Policy (OGYVP), is pleased to present the 2010/11 Request for Proposal (RFP) for the California Gang Reduction, Intervention, and Prevention (CalGRIP) Program for Cities. This competitive funding opportunity is a result of Governor Schwarzenegger's 2007 CalGRIP Initiative. Cities may apply for up to \$400,000 in grant funds for gang prevention, intervention and suppression activities.

Please note that allocation of CalGRIP funds is contingent upon the enactment of the 2010/11 State Budget. Cal EMA does not have the authority to disburse funds until the budget is passed identifying funding for this program and the Grant Award Agreement is fully executed.

I would also like to bring to your attention two key components of the CalGRIP program. Successful Applicants will be required to distribute at least 20 percent of grant funds to one or more Community Based Organizations and must reflect this in their proposals. Second, Applicants that propose to implement an evidence-based program from a list developed for OGYVP by national experts (Attachment A) will be eligible to receive 15 additional points.

To download or view an electronic copy of the RFP, go to the Cal EMA homepage (www.calema.ca.gov), scroll over the "Grant Programs" tab and select the "Grant Applications and Proposals (RFAs/RFPs)". Click on "Request for Proposal (RFP) Funding Information," then select "2010 California Gang Reduction, Intervention and Prevention Program for Cities" from the list.

The due date for proposals is November 8, 2010. Please refer to the RFP for additional details. Questions concerning the RFP or the CalGRIP Program may be directed to Sherril Scott by telephone at (916) 322-1959, by fax at (916) 324-9179, or by email at sherril.scott@calema.ca.gov. **A bidder's telephone conference call to discuss evidence-based programs is scheduled for Tuesday, October 12, 2010 at 1:30 pm to 3:00 pm** (See Part I, Section F, of the RFP for details.).

Sincerely,

BRENDAN A. MURPHY
Director of Grants Management

3650 SCHRIEVER AVENUE • MATHER, CA 95655
PUBLIC SAFETY BRANCH
916-327-5664 • 916-324-9179 FAX

**CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CalGRIP) PROGRAM
2010/11**

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CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CalGRIP) PROGRAM 2010/11

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Proposal (RFP) provides the information and forms necessary to prepare a proposal for California Emergency Management Agency (Cal EMA) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.calema.ca.gov. Look on the right side of the Cal EMA homepage under “Quick Links” for the “2010 Cal EMA Criminal Justice Programs Recipient Handbook” or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.”

B. CONTACT INFORMATION

Questions concerning this RFP, the proposal process, or programmatic issues should be submitted telephone, fax, or e-mail to:

Sherril Scott, Criminal Justice Specialist II
Gang Violence Section
Telephone: (916) 322-1959
Fax: (916) 324-9179
Email: sherril.scott@calema.ca.gov

Cal EMA staff cannot assist the Applicant with the actual preparation of its proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, Cal EMA can only respond to technical questions about the RFP.

Cal EMA will maintain a list of Frequently Asked Questions (FAQs) on its web site. To access the list of FAQs, go to www.calema.ca.gov, and at the top of the homepage, mouse over “Grant Programs,” then “Grant Applications and Proposals (RFAs/RFPs)”. Click on “Frequently Asked Questions” from the list of Related Links on the right.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original, three copies and one compact disc with an electronic copy of the proposal, must be delivered to Cal EMA’s Public Safety and Victim Services Division by the date and time indicated below. ***A late proposal will be deemed ineligible for funding.*** Submission options are:

Regular or overnight mail, postmarked by **NOVEMBER 8, 2010 OR** hand-delivered by 5:00 p.m. on **NOVEMBER 8, 2010** to:

California Emergency Management Agency
Public Safety and Victim Services Division – Public Safety Branch
3650 Schriever Avenue
Mather, CA 95655
Attn: CalGRIP Program – Gang Violence Section

D. ELIGIBILITY

Only California cities are eligible to apply. The City of Los Angeles is not eligible to submit a proposal in response to this RFP because it will be allocated funds separately under the CalGRIP Program.

Community-based organizations (CBOs) cannot apply. Cities are required to distribute at least 20 percent of the grant funds they receive to one or more CBOs. Applicants that fail to show how they plan to meet this requirement will be disqualified.

Cities currently receiving 2007/08 or 2008/09 CalGRIP funds from the Cal EMA or the Employment Development Department are eligible to apply without restriction. Cities that received a 2009/10 CalGRIP grant award from the Cal EMA or the Employment Development Department (April 2010 or June 2010 respectively) are eligible to apply, however the proposed project cannot duplicate the currently funded CalGRIP project. The proposed project instead must be a new and distinct project, or augment the existing project(s) by providing services to a larger target population or a different target area. Those Applicants that are also 2009/10 CalGRIP grantees must address this issue by responding to the questions on the CalGRIP Eligibility Form (Please see Part IV – Appendix – Proposal Forms). The Cal EMA will review this information to determine eligibility. Those Applicants that fail to demonstrate that the proposed project is not a duplicate of a currently funded 2009/10 CalGRIP project will be deemed ineligible for funding.

A city may not submit more than one proposal to The Cal EMA for 2010/11 CalGRIP funding.

E. FUNDS

It is anticipated that the 2010/11 State Budget will allocate \$8,125,000 for the CalGRIP competitive program. Each Applicant may request up to \$400,000. The grant period will begin on January 1, 2011 and end on December 31, 2012 (or otherwise provided by state law). Funding requires a dollar-for-dollar (100 percent) match of the funds awarded to the recipient (case or in-kind).

The amount funded may be less than the amount requested in order to maximize the impact of the funds. At least two grants will be awarded to cities with populations of 200,000 or less.

Please note that allocation of CalGRIP funds is contingent on the enactment of the 2010/11 State Budget with funding for this program. The Cal EMA does not have the authority to disburse funds until there is a budget and the Grant Agreement is fully executed.

F. PROGRAM INFORMATION

The purpose of the CalGRIP program is to provide grants to cities for gang prevention, intervention and/or suppression activities. Applicants are encouraged to develop project activities designed to meet the unique needs of the specific area(s) and population(s) targeted by the project and can include program components within one or more of the following focus areas: reentry, education, job training and skills development, family and community services and/or suppression activities. All project plans must be supported by quantifiable objectives and measurable outcomes. Projects selected for funding will be

required to report on the number of individuals receiving services and how the services impacted those individuals or the target area.

Applicants will be scored, in part, on how well they demonstrate their plan to incorporate a regional approach to anti-gang activities. For purposes of this RFP, a “regional approach” is one that incorporates multiple jurisdictions and/or multiple agencies or organizations in the implementation of a project plan.

To foster the development of this regional approach, each city selected for funding through this RFP process must collaborate and coordinate with area jurisdictions and agencies, including the existing county Juvenile Justice Coordinating Council, with the goal of reducing gang activity in the city and adjacent areas. Each recipient must establish a coordinating and advisory council to prioritize the use of the funds. The advisory council can be either a new or existing group. It can also be a subset of an existing group, (e.g., the county Juvenile Justice Coordinating Council). Membership **must** include:

- City officials;
- Local law enforcement including the chief of police, county sheriff, chief probation officer, and district attorney;
- Local educational agencies, including school districts and the county office of education; and,
- Community-based organizations.

The Applicant city must designate a lead city agency to serve as the implementing agency to submit the proposal, administer the grant and coordinate all agencies and community-based organizations participating in the project. The city may designate a county agency as the implementing agency if the county agency is performing a city function under contract with the city (e.g., a county sheriff’s department serving as a city police department under contract with the city). An application submitted by a city may include other cities, counties, city and/or county agencies and community-based organizations as partners in the proposed project.

Cities are required to distribute at least 20 percent of the grant funds they receive to one or more community-based organizations.

G. ADDITIONAL POINTS FOR EVIDENCE-BASED PROGRAMS

Grant funds, when appropriate, should be invested in programs that have been proven to work, (i.e., evidence-based programs). For purposes of this RFP, an evidence-based program is one that has been found to be effective based on rigorous empirical evaluations.

In 2009, on behalf of the Governor’s Office of Gang and Youth Violence Policy (OGYVP), Peter Greenwood, PhD, with the assistance of an expert review panel, developed a list of “Proven and Promising Evidence-Based Crime and Violence Prevention and Intervention Programs.” Dr. Greenwood and his team developed this list by identifying the most rigorous systems that rate programs that reduce or prevent youth crime or violence or related risk factors (delinquency, substance abuse, etc.). This list can be found in Attachment A of this RFP. Applicants that propose to use one or more of the Proven or Promising Programs included in this list will be eligible to receive an additional 15 points.

Successful implementation of any evidence-based program (EBP) requires appropriate training and technical assistance to ensure that the program is implemented with fidelity to the model to achieve the desired outcomes. For purposes of this RFP, “training and technical assistance” refers to the professional guidance, support, advice or consultation a city needs in order to start up and implement an EBP. Training and technical assistance usually is provided by the organization or individual that developed the program, or by an organization or individual that has received special training in the program and is recognized by the field as an expert. Typically, a city would seek training and technical assistance in the following areas:

- Training of individuals who will deliver the program;
- Training in curriculum and/or protocols;
- Implementation of services;
- Ongoing fidelity monitoring;
- Data collection; and
- Tracking of outcomes.

It is important to note that many of these programs have very specific requirements that might affect a city's ability to implement a program with fidelity to the model. These requirements can impact cost, staffing and other resources. Before submitting a proposal, Applicants are strongly encouraged to contact the organization(s), individual(s) and/or technical assistance provider(s) listed for the selected EBP (Attachment A) in order to learn more about the program and become familiar with any such special requirements.

Finally, to ensure that any funds dedicated to the implementation of the selected EBP are used to maximum benefit, a minimum of 50 participants must be served by the selected evidence-based program. Applicants must list the number of participants they plan to serve and discuss briefly how they arrived at that number.

To obtain the 15 additional points, Applicants must:

- Identify the selected program;
- Demonstrate that they have researched the selected EBP and are familiar with it by explaining why and how it was selected;
- Identify either the entity from which they will receive training and technical assistance and/or the process by which they will select an entity to provide training and technical assistance; and
- List the number of participants they plan to serve (minimum 50) with the EBP and how they arrived at that number.

To implement these programs, cities are encouraged to partner with county agencies, educational agencies and community-based organizations.

Applicants that are successful in applying to implement an EBP will receive intensive support from the Cal EMA and OGYVP during start-up and implementation, and will be required to develop a work plan with specific tasks, timelines and outcome goals. Emphasis will be placed on appropriate data collection and outcome reporting.

H. BIDDER'S CONFERENCE ON EVIDENCE-BASED PRACTICES

A bidder's telephone conference call has been scheduled for **Tuesday, October 12, 2010 at 1:30 pm to 3:00 pm**. The bidder's conference is for any Applicant wishing to learn more about evidence-based programs or available technical assistance. The Cal EMA and OGYVP staff will be available to answer questions and provide more information. Available ports for this call are limited; therefore, the Cal EMA requests that each interested city access the conference from no more than two phone lines. The conference call can be accessed by dialing **(916) 362-4872** and providing the following access code: **186077**. The access code will be required to join the call. You may be asked to provide the name of the Conference Host to the operator; the Conference Host is Paul Seave, Director of the Governor's Office of Gang and Youth Violence Policy.

CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CalGRIP) PROGRAM 2010/11

PART II – RFP INSTRUCTIONS

- A. PREPARING A PROPOSAL
 - B. PROJECT NARRATIVE
 - C. PROJECT BUDGET
 - D. PROPOSAL APPENDIX
 - E. PREFERENCE POINTS CERTIFICATION (ENTERPRISE ZONE)
-

A. PREPARING A PROPOSAL

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The Applicant must use the forms provided in Part IV of this RFP or on our Web site at www.calema.ca.gov. The Project Narrative and the Budget Narrative must be double spaced, in Arial 11 point font, with one-inch margins, on plain white 8½ x11-inch paper. The Project Narrative must not exceed **20 pages** (single-sided). The Budget Narrative (see Part II, Section B) must not exceed **3 pages** (single-sided). The only allowable attachments are those listed below in Part II, Section C; these are not included in the page limit. The Applicant must ensure that information requested by the RFP instructions is included in the appropriate section of the proposal to receive credit. Failure to include the required components may result in a reduced score or disqualification. Information provided that exceeds the page limits, or ignores font and spacing requirements, will not be taken into consideration.

The Applicant must submit one original, three copies and one compact disc with an electronic copy of the proposal. Copies of the proposal must be assembled separately and individually fastened in the upper left corner. Do not bind proposals.

The following 10 components are required for a complete proposal. Electronic links to the required forms are located in Part IV – Appendix:

- Proposal Cover Sheet (included in Part IV)
- CalGRIP Eligibility Form
- Grant Award Face Sheet (Cal EMA 2-101)
- Project Contact Information (Cal EMA 2-102)
- Signature Authorization and Instructions (Cal EMA 2-103)
- Certification of Assurance of Compliance (Cal EMA 2-104)
- Preference Points (Enterprise Zone) Certification Form (Cal EMA 2-155)
- Project Narrative (Cal EMA 2-108) with Attachments
- Project Budget (Including the Budget Narrative (Cal EMA 2-107) and the Budget Forms (Cal EMA 2-106 a-c))
- Proposal Appendix (refer to Part II, D)
 - CalGRIP Focus Area Chart
 - Organizational Chart for Implementing Agency
 - CalGRIP Partner Roles and Responsibilities Chart
 - Operational Agreements
 - Membership Roster of the Coordinating and Advisory Council
 - Project Summary (Cal EMA 2-150)
 - Noncompetitive Bid Request Checklist (Cal EMA 2-156), if applicable

- Out of State Travel Request (Cal EMA 2-158), if applicable
- Other Funding Sources (Cal EMA 2-151)
- Prior, Current, and Proposed Cal EMA Funding (Cal EMA 2-152)
- Project Service Area Information (Cal EMA 2-154)
- Computer and Automated Systems Purchase Justification (Cal EMA 2-157), if applicable

NOTE: The Applicant must ensure that all information requested by the RFP is included in the appropriate section of the proposal in order to receive credit. Failure to include the required components may result in a reduced score or disqualification. The Cal EMA will *not* advise the Applicant if the proposal is incorrect and/or incomplete prior to rating or disqualification.

Copies of the proposal must be assembled separately and individually fastened in the upper left corner.
Do not bind the proposal.

B. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the Applicant to implement the proposed plan. The project narrative must not exceed 20 pages, double spaced and single-sided, in Arial 11 point font, with one-inch margins. The Applicant must ensure that information requested by the project narrative instructions is included in the appropriate section of the project narrative to receive credit. Failure to include the required components may result in a reduced score or disqualification. Information provided that exceeds the page limits or does not follow Cal EMA spacing requirements will not be taken into consideration.

1. Problem Statement

1.a. Gang and Youth Violence Problem

Using both quantitative and qualitative information for support, describe the gang or youth violence problem affecting your community. Your description should indicate whether, in what ways, and why the problem is getting better or worse (or holding steady). Describe the types of violence, other crimes and gang activity committed; how the violence and gangs impact various aspects of the community; and, the causes of the violence. As a part of this section, Applicants also must:

- i. Support the description with statistical information, such as crime incidents; crime rates per capita; crime trends; gang-related crimes; number of gangs identified by law enforcement; number of gang members validated by law enforcement; incidents at school, etc.
- ii. Include comparisons to statewide statistics, or to those of similar jurisdictions, and provide trend data from your own jurisdiction to illustrate the extent of the problem.
- iii. Include statistics on gang-related homicides for 2008 and 2009 (Note: If the official numbers as reported to the California Department of Justice appear to understate the gang homicide problem in your target area, you may want to request a more current and accurate estimate from your local law enforcement agency.)
- iv. Cite all data sources.

1.b. Target Population

Describe the characteristics of the population that will be targeted by this project and explain why this population was selected. Include demographic information, such as age, gender, socio-economic status, education level, etc., and describe the size of the target population. As a part of this section, Applicants also must:

- i. Discuss the risk factors and challenges that affect this population.
- ii. Support the description with statistical information, such as poverty rates; reports of child abuse; unemployment rates; juvenile and/or adult arrest rates; number of adults and/or youth on probation or parole; high school drop-out rates; high school academic performance index (API) scores; truancy rates; suspension/expulsion rates, etc.
- iii. Include comparisons to statewide statistics, or to those of similar jurisdictions, and provide trend data from your own jurisdiction to illustrate the extent of the problem.
- iv. Cite all data sources.

1.c. Target Area

Define the geographical boundaries of the area that the project will target (target area). Keep in mind that the target area must include at least a portion of the Applicant city, but does not have to be confined to the city limits. The target area can cross city limits and county lines, and can include portions of more than one city or county. As a part of this section, Applicants also must:

- i. Discuss reasons the target area was selected, over and above the characteristics of the target population. This could include descriptors related to environment or infrastructure, such as: land-locked by freeways, high concentration of liquor stores, lack of recreational facilities, dangerous parks where gangs congregate, etc.
- ii. State whether the target area includes a designated Enterprise Zone. Five percent (5%) of the total points possible will be added to an Applicant's score if the entire target area of the proposed project falls within an Enterprise Zone or if the entire Enterprise Zone falls within the target area. Two percent (2%) of the total points possible will be added to an Applicant's score if a portion of the target area falls within an Enterprise Zone.

To be eligible for Enterprise Zone preference points, an Applicant must include a Preference Points Certification Form in the Proposal Appendix. See Part II, Section E for more information on Enterprise Zone Preference Points.

2. Plan and Implementation

2.a. Planned Approach

Describe the proposed project and explain how it will address the gang or youth violence problems identified in the Statement of Need. Explain whether the strategy is considered primarily prevention, intervention, reentry, education, job training and skills development, family and community services, suppression, or a combination thereof.

- i. The description should include the following information:
 - What kinds of services will be provided?
 - Who will provide the services?
 - How will you identify and recruit individuals from within the target population to receive services?

- How many individuals will receive services?
- How will you track the progress of individuals that receive services?
- ii. Proposals will be scored in part on how well they demonstrate the use of a coordinated regional approach, among a broad array of agencies.
- iii. As a part of this description, clearly identify a set of quantifiable objectives specific to the proposed project, e.g., 50 at-risk youth will receive wraparound case management services; 60 students at-risk of gang involvement will receive tutoring and vocational training, 50 gang members will be targeted through enforcement operations, etc. Objectives should be reasonable and aligned with the project description. Include a timeline for achieving each objective. The timeline should be comprehensive, carefully planned and realistic.
- iv. Complete the CalGRIP Focus Area Chart. Include this form in the Proposal Appendix.

Optional – Evidence-Based Program

Additional points will be given to Applicants that demonstrate they are using one or more of the evidence-based programs listed in Attachment A. Applicants choosing to use an evidence-based program should review the guidelines listed in Part I, Section G of this RFP. To obtain the additional points, Applicants must:

- Identify the selected program;
- Demonstrate that they have researched the selected EBP and are familiar with it by explaining why and how it was selected;
- Identify either the entity from which they will receive training and technical assistance and/or the process by which they will select an entity to provide training and technical assistance.
- List the number of participants they plan to serve (minimum 50) with the EBP and how they arrived at that number.

2.b. Expected Outcomes

Identify and describe measurable outcomes that correlate to each of the objectives identified above (e.g., reported gang-related incidents will be reduced by 50 percent for youth receiving case management services; school attendance rate will improve by 50 percent for students participating in tutoring program, etc.). As a part of this section, Applicants also must:

- i. Explain how project staff will track outcomes to determine if the project is progressing as planned and on schedule. Describe how outcomes will be reported.
- ii. Show a clear connection between project objectives (B.2.a.iii.), services and/or activities (B.2.a.i.), and expected outcomes (B.2.b.).

2.c. Project Implementation

Describe agency roles and responsibilities within the scope of the proposed project. First, identify the agency that will have lead responsibility for implementing the proposed project (implementing agency), describing how that agency will carry out the proposed plan. In this section, Applicants also must:

- i. Describe the implementing agency's organizational structure, including proposed staffing for this project, to demonstrate its ability to achieve the objectives and outcomes. Attach an Organizational Chart of the implementing agency in the Proposal Appendix to support an understanding of the organizational structure of the proposed project.

- ii. Demonstrate that prospective project staffs have experience in working with the target population.
- iii. Identify partner agencies/organizations that will take an active role in administering the proposed project and describe their roles and responsibilities within the scope of this project. At least 20 percent of requested funds must be distributed to one or more community-based organizations (CBOs). Identify how many CBOs you will partner with and describe in detail the services they will provide. Also, identify the CBOs or the process you will use to identify the CBOs.
- iv. Complete the [CalGRIP Partner Roles and Responsibilities Chart](#). Include this form in the Proposal Appendix.
- v. Provide a signed Operational Agreement (see Glossary for definition) in the Proposal Appendix for each partner agency/organization listed here, documenting the specific agreements between it and the implementing agency. [Please refer to the 2010 Cal EMA Recipient Handbook, Section 4000, for details.]

2.d. Coordinating and Advisory Council

Each grantee shall have a Coordinating and Advisory Council. This group should have a meaningful role in the planning, coordination, implementation and monitoring of the proposed project. This advisory council can be either a new or existing group. It also can be a subset of an existing group, e.g., the county Juvenile Justice Coordinating Council. In this section, Applicants must:

- i. Identify the membership of the advisory council, which must include: city officials; local law enforcement, including the chief of police, county sheriff, chief probation officer and district attorney; local educational agencies, including school districts and the county office of education; and, community-based organizations. Include a Membership Roster for the advisory council in the Proposal Appendix.
- ii. Explain the role of the advisory council in developing the project proposal.
- iii. Describe how the advisory council will monitor progress and hold the implementing agency accountable to the project objectives and outcomes.

C. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the Applicant will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal EMA modifications and approval.

The Cal EMA requires the Applicant to develop a **line-item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The Applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the Applicant does not budget for a required item, the Applicant assumes responsibility.
- Failure of the Applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The Applicant should refer to the *Recipient Handbook* for additional information concerning Cal EMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.calema.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the “2010 Cal EMA Criminal Justice Programs Recipient Handbook” or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.” Should you have additional budget questions, contact the person listed in Part I, Section B.

Requirement to Disburse Funds to One or More Community-Based Organizations

Each city that receives a CalGRIP grant is required to distribute at least 20 percent of the grant funds it receives to one or more community-based organizations (CBOs) with whom it is partnering on the project. In the Budget Narrative, Applicants must discuss how many CBOs they will partner with and what services they provide. Applicants must also identify these funds in the Line-Item Budget (under Operating Expenses).

Match Requirement

Applicants may request up to \$400,000, but must provide a dollar-for-dollar (100 percent, cash or in-kind) match of all funds requested. This match may be a cash match, in-kind services or a combination of the two. A cash match is defined as any resource for which the Applicant incurs an expense, including salaries, operating expenses and equipment. An in-kind match is defined as any resource which is contributed to the project without an expense to the Applicant, such as volunteer hours. All in-kind match must be supported with an assessment of fair market value, which must be calculated in the budget as a numerical amount.

The match may be either new or existing funds as long as they support the activities of the proposed project. The match may be either local or federal funds as long as the funding source has not prohibited the use of those funds as match. *State funds cannot be used as matching funds in this program.* An Applicant may pool its resources with partner agencies to meet the match requirement. If those resources are contributed to the grant project at no cost to the Applicant, they would be reflected in the budget as an in-kind match.

1. Budget Narrative

The Applicant is required to submit a narrative with the project budget. The budget narrative must not exceed 3 pages, double spaced and single-sided, in Arial 11 point font, with one-inch margins. The narrative must be typed and placed in the proposal preceding the budget pages, describing:

- how the project's proposed budget supports the Program's objectives and activities;
- how funds are allocated to minimize administrative costs and support direct services;
- which community-based organizations (CBOs) it will partner with (or what process it will use to identify those CBO partners) and how it will allocate the required minimum 20 percent of grant funds to the CBOs;

- the duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line-item budget);
- how project-funded staff duties and time commitments support the proposed objectives and activities;
- proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- the necessity for subcontracts and unusual expenditures; and
- the mid-year salary range adjustments.

2. Specific Budget Categories

The Cal EMA requires the Applicant to develop a line-item budget, which will enable the project to meet the intent and requirements of the program and ensure the successful and cost-effective implementation of the project.

In Part IV of this RFP, or on our website, you can access Excel spreadsheets for each of the following three budget categories. For this grant application, use Cal EMA Form 2-106c (“Budget Category and Line Item Detail – With % Match”).

- a. Personal Services – Employee Salaries/Benefits
- b. Operating Expenses
- c. Equipment

The left column of each budget category on the spreadsheet requires line-item detail, including the calculation and justification for the expense. Enter the amount of each line item including match in the correct columns of the Budget Category form. The Excel spreadsheet will automatically calculate each line item and round off to the nearest whole dollar. You may add extra rows if necessary. Excel will calculate the totals at the end of each budget category and the total project cost at the bottom of the last page. The total budget amount, including each funding source and/or match amount, must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet (Cal EMA Form 2-101).

Applicants must provide a dollar-for-dollar (100 percent, cash or in-kind) match of all funds requested. The exact amount of the required match must be specified in the application budget in line-item detail. The match requirement is equal to the total amount of grant funds requested, and does not have to correlate to any specific budget line item or budget category. As long as the budget identifies line items with costs in the “Match” column that total to an amount equal to the total grant funds requested, then the budget has met the match requirement. Exceeding the match requirement is not allowable, and will not increase an Applicant's score in the competitive process.

Projects may supplement grant funds with funds from other sources. However, since approved budget line items are subject to audit, an Applicant should not include in the project budget matching funds in excess of the required match. Budgets are subject to Cal EMA modifications and approval.

- a. Personal Services – Salaries/Employee Benefits (Cal EMA 2-106a)
 - 1) Salaries

Personal services include services performed by project staff directly employed by the Applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays,

overtime, and shift differentials must also be budgeted as a part of salaries. If the Applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the Applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, C.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The Applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the Applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (Cal EMA 2-106b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the Applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the Applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook*, Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the Recipient and made available for review during a Cal EMA site visit, a monitoring visit, or an audit. In the case of grants being passed through a Recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The Applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal EMA training conferences or workshops. It is anticipated that CalGRIP Project Directors and Financial Officers will be required to attend a one-day Project Director Meeting in Sacramento early in the grant cycle.

Applicants applying to implement one of the evidence-based programs listed in Attachment A should also budget for 2-3 individuals to attend a one-day informational meeting in Sacramento.

The required 20 percent of grant funds to be distributed to community-based organizations should be listed in this category.

c. Equipment (Cal EMA 2-106c)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

NOTE: The left column of each budget category on the Spreadsheet requires line-item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

D. PROPOSAL APPENDIX

The proposal appendix provides the Cal EMA with additional information from the Applicant to support components of the proposal. These documents will NOT be counted toward the page limit of the Project Narrative and are the only allowable attachments that will be scored. The following must be included:

- CalGRIP Focus Area Chart
- Organizational Chart
The Organizational Chart should clearly depict the structure of the Applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.
- CalGRIP Partner Roles and Responsibilities Chart
- [Operational Agreements \(OA\)](#)
OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period. These documents must demonstrate a formal system of networking and coordination with other agencies and the Applicant. A sample OA can be accessed by selecting the title above.
- Membership Roster of the Required Coordinating and Advisory Council
- Project Summary (Cal EMA 2-150)
- Noncompetitive Bid Request (Cal EMA 2-156) if applicable
- Out-of-State Travel Request (Cal EMA 2-158) if applicable
- Other Funding Sources (Cal EMA 2-151)
- Prior, Current, and Proposed Cal EMA Funding (Cal EMA 2-152)
- Project Service Area Information (Cal EMA 2-154)
- Computer and Automated Systems Purchase Justification Guidelines (Cal EMA 2-157) [if applicable]

E. PREFERENCE POINTS CERTIFICATION

California Government Code, Section 7082 requires the Cal EMA to give preference to Applicants from areas in the state designated as Enterprise Zones. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent (5%) of the proposal's total score will be added to the proposal for the Applicant specifically targeting a designated Enterprise Zone for services. Two percent (2%) of the Applicant's total score will be added to the proposal for the Applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on the Housing and Community Development, Division of Financial Assistance web page at <http://www.hcd.ca.gov/fa/cdbg/ez/>. If the Applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed.

CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CaIGRIP) PROGRAM 2010/11

PART III – POLICIES AND PROCEDURES

NOTE: The Applicant is strongly encouraged to review the following sections before preparing the proposal.

- A. SELECTION OF PROPOSAL FOR FUNDING
 - B. FINALIZING THE GRANT AWARD AGREEMENT
 - C. ADMINISTRATIVE REQUIREMENTS
 - D. BUDGET POLICY
-

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Eligible proposals received by the deadline are generally rated by a three member team. The rater scores are averaged and then ranked numerically. The Rating Form used for this process is included in Part IV of this RFP and is for informational purposes only.

2. Funding Recommendation

Final funding decisions are made by the Secretary of the Cal EMA. Funding recommendations are based on the following:

- the ranked score of the proposal;
- consideration of funding priorities or geographical distribution specific to this RFP; and
- prior negative administrative and programmatic performance, if applicable.

Projects previously funded by the Cal EMA will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:

- a. the project may not be selected for funding;
- b. the amount of funding may be reduced; or
- c. grant award conditions may be placed in the Grant Award Agreement.

See Attachment B for additional information regarding the Past Performance Policy.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

B. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. The Cal EMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. Cal EMA employees are not able to authorize an Applicant to incur expenses or financial obligations prior to the execution of a Grant Award Agreement. However, once the Grant Award Agreement is finalized the Recipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the Grant Award period.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, the Cal EMA may immediately terminate or reduce the grant award by written notice to the Recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the Recipient to the extent state or federal funds are available for payment of such costs.

Cal EMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

The Cal EMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the Applicant and a copy of the conditions will be sent to the Recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by The Cal EMA.

b. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The Applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal EMA 2-201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, the Cal EMA may reduce the amount of the grant award from the amount requested by the Applicant. In addition, the Cal EMA reserves the right to negotiate budgetary changes with the Applicant prior to executing the Grant Award Agreement. If either of these actions is required, the Cal EMA will notify the Applicant prior to executing the Grant Award Agreement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the Recipient's planning purposes.

1. The *Recipient Handbook* (RH)

The *Recipient Handbook* is accessible on our website at www.calema.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the "Criminal Justice Programs Recipient Handbook" or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks". The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, Cal EMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures/Request for Funds (RH 6300)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal EMA 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal EMA 2-201 will result in the withholding of funds and may result in the recommendation to the Cal EMA's Secretary for termination of the grant award.

5. Technical Assistance/Site Visits (RH 10300)

Funded projects are assigned a Cal EMA Program Specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program Specialists are available to assist the Recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned Program Specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*RH 8100*)

To safeguard Cal EMA assets and to ensure that all funds are accounted for, the Cal EMA requires that organizations receiving a Cal EMA grant award(s) be audited in accordance with *Recipient Handbook*, Section 8100.

8. Source Documentation (*RH 10111*)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by the Cal EMA detailing specific grant-related activities to achieve project objectives.

9. Bonding Requirements (*RH 2160*)

Private community-based organizations and American Indian organizations are required to obtain and send to the Cal EMA a copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal EMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the “State of California, California Emergency Management Agency” and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a Recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

10. Copyrights, Rights in Data, and Patents (*RH 5300-5400*)

The Cal EMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

D. BUDGET POLICY

This document summarizes information on Cal EMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.calema.ca.gov. Look on the right side of the Cal EMA homepage under ‘Quick links’ for the “Criminal Justice Programs Recipient Handbook” or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.”

1. Supplanting Prohibited (*RH 1330*)

Grant funds must be used to supplement existing funds for program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal EMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the Recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal EMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000 which require prior Cal EMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal EMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal EMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

a. State Funds Matching State or Federal Funds (*RH 6522*)

State and/or federal funds can be used to match other state and/or federal funds *only* if the following conditions have been met:

- 1) the other funding source does not prohibit this practice;
- 2) the funds are to be used for identical activities (e.g., to augment the project); and
- 3) the project has obtained prior written approval from Cal EMA or the terms of the program allow this practice.

b. Type of Match

1) Cash Match (*RH 6511*)

Cash match, also known as hard match, is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (*RH 6512*)

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be separately identified in the budget.

5. Travel Policies (*RH 2236*)

The following is Cal EMA's current travel policy:

a. Travel and Per Diem (*RH 2236*)

The Applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBOs)

A community-based organization may use the state travel policy or the Applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal EMA approval.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110.00, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140.00, plus applicable taxes.

5) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 50 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

6) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the Recipient on the implementation of a project. The agreement between the Recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor/Consultant Services (*RH 3710*)

Consultant services are provided on a contractual basis by individuals or organizations not directly employed by the Applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the Applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency

a. Rates (*3710.1*)

The maximum rate for independent contractors is \$250.00 per hour (excluding travel and subsistence costs). Compensation over \$250.00 per hour requires additional justification and **prior approval** from Cal EMA.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for such witness fees is \$250.00 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- rate of pay per hour including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);

- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- justification why this cost cannot be paid with other funds (attach the justification to Cal EMA 2-106).

8. Facility Rental (*RH 2232*)

Up to \$21.00 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

- Rental Space for Training and Counseling Rooms (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal EMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2220*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by Applicant for indirect costs if allowable by the funding source.

11. Audits (*RH 8150*)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$500,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- if the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total project cost for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the Recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal EMA is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal EMA is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Cal EMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the Applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the Applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase, as compared to other options, including lease and personal automobile use and mileage, must be done and kept on file for review by Cal EMA program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses and Commissions (*RH 2241*)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal EMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

e. Interest (*RH 2245*)

The cost of interest payments is only allowable if the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

**GANG REDUCTION, INTERVENTION, AND PREVENTION PROGRAM
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PART IV – APPENDIX – PROPOSAL FORMS

Click on one of the links below to access the corresponding form. Save the form to your hard drive before filling it out. To access the complete list of forms go to www.calema.ca.gov, scroll over the “Grant Programs” tab, select “Grant Applications and Proposals (RFAs/RFPs)”, then look under the “Related Links” section for “Forms.” Or, paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

[Checklist](#)

[Coversheet](#)

[Grant Award Face Sheet and Instructions \(Cal EMA 2-101\)](#)

[Project Contact Instructions and Information \(Cal EMA 2-102\)](#)

[Signature Authorization and Instructions \(Cal EMA 2-103\)](#)

[Certification of Assurance of Compliance \(Cal EMA 2-104\)](#)

[Application Budget – Budget Narrative \(Cal EMA 2-107\)](#)

[Project Narrative \(Cal EMA 2-108\)](#)

[Budget Forms \(Excel spreadsheet format\) – 2-106c. With % Match](#)

[CalGRIP Focus Area Chart](#)

[Sample Operational Agreement \(Cal EMA 2-161\)](#)

[CalGRIP Partner Roles and Responsibilities Chart](#)

[Project Summary \(Cal EMA 2-150\)](#)

[Noncompetitive Bid Request Checklist \(Cal EMA 2-156\)](#)

[Out-Of-State Travel Request \(Cal EMA 2-158\)](#)

[Other Funding Sources \(Cal EMA 2-151\)](#)

[Prior, Current, and Proposed Cal EMA Funding \(Cal EMA 2-152\)](#)

[Project Service Area Information \(Cal EMA 2-154\)](#)

[Computer and Automated Systems Purchase Justification \(Cal EMA 2-157\)](#)

[Preference Points Certification \(Cal EMA 2-155\)](#)

**GANG REDUCTION, INTERVENTION, AND PREVENTION PROGRAM
2010/11**

PART IV – APPENDIX – PROPOSAL FORMS

**EVIDENCE-BASED CRIME AND VIOLENCE PREVENTION AND INTERVENTION
PROVEN PROGRAMS**

(Organized by greatest outcome)

Attachment A

PROVEN PROGRAMS	BRIEF DESCRIPTION	TARGET POPULATION	OUTCOMES	FOR MORE INFORMATION
<i>Delinquency & Recidivism</i>				
Nurse Family Partnership (NFP)	NFP consists of intensive and comprehensive home visitation by nurses during a woman's pregnancy and the first two years after birth of the woman's first child. While the primary mode of service delivery is home visitation, the program depends upon a variety of other health and human services in order to achieve its positive effects.	Low-income, at-risk pregnant women bearing their first child	<ul style="list-style-type: none"> ▪ 38.2% reduction in recidivism for mothers ▪ 15.7% reduction in recidivism for children 	Nurse-Family Partnership www.nursefamilypartnership.org
Functional Family Therapy (FFT)	Aimed at youth at risk for and/or presenting with delinquency, violence, substance use, Conduct Disorder, Oppositional Defiant Disorder, or Disruptive Behavior Disorder. Often these youth present with additional co-morbid challenges such as depression. FFT requires as few as 8-15 sessions of direct service time for commonly referred youth and their families, and generally no more than 26 total sessions of direct service for the most severe problem situations.	Youth, ages 11 to 18	<ul style="list-style-type: none"> ▪ 18.1% reduction in recidivism 	Functional Family Therapy, Inc. www.fftinc.com In CA: California Institute for Mental Health www.cimh.org
Multidimensional Treatment Foster Care (MTFC)	Community families are recruited, trained, and closely supervised to provide MTFC-placed adolescents with treatment and intensive supervision at home, in school, and in the community; clear and consistent limits with follow-through on consequences; positive reinforcement for appropriate behavior; a relationship with a mentoring adult; and separation from delinquent peers.	Teenagers with histories of chronic and severe criminal behavior at risk of incarceration and those with severe mental health problems	<ul style="list-style-type: none"> ▪ 17.9% reduction in recidivism 	TFC Consultants, Inc. www.mtfc.com In CA: California Institute for Mental Health www.cimh.org

Aggression Replacement Training (ART)	The ART program is a multimodal psycho-educational intervention designed to alter the behavior of chronically aggressive adolescents and young children. The goal of ART is to improve social skill competence, anger control, and moral reasoning.	Aggressive and violent adolescents, ages 12 to 17	▪ 8.3% reduction in recidivism	The United States Center for Aggression Replacement Training http://www.uscart.org/new.htm In CA: California Institute for Mental Health www.cimh.org
Multisystemic Therapy (MST)	MST is an intensive family- and community-based treatment that addresses the multiple determinants of serious antisocial behavior in juvenile offenders. The multisystemic approach views individuals as being nested within a complex network of interconnected systems that encompass individual, family, and extrafamilial (peer, school, neighborhood) factors. Intervention may be necessary in any one or a combination of these systems.	MST targets chronic, violent, or substance abusing male or female juvenile offenders, ages 12 to 17, at high risk of out-of-home placement, and the offenders' families	▪ 7.7% reduction in recidivism	MST Services www.mstservices.com In CA: California Institute for Mental Health www.cimh.org
Substance Use				
Life Skills Training (LST)	The results of over a dozen studies consistently show that LST dramatically reduces tobacco, alcohol, and marijuana use. These studies further show that the program works with a diverse range of adolescents, produces results that are long-lasting, and is effective when taught by teachers, peer leaders, or health professionals.	Middle/junior high school students (initial intervention in 6 th or 7 th grades)	▪ 50%-75% reduction in tobacco, alcohol, & marijuana use	Botvin Life Skills Training www.lifeskillstraining.com
Project Toward No Drug Abuse (Project TND)	Project TND is an effective drug abuse prevention program that targets heterogeneous samples of high school-age youth. Reductions in cigarette smoking, alcohol use, marijuana use, hard drug use, and victimization have been revealed at one- and two-year follow-up periods. It has been tested at traditional and alternative high schools using true experimental design.	High school youth, ages 14 to 19	▪ 22% prevalence reduction in 30-day marijuana use ▪ 26% prevalence reduction in 30-day hard drug use	University of Southern California, Institute for Prevention Research http://tnd.usc.edu/

Antisocial Behavior				
Big Brothers/Big Sisters (BBBS)	Service delivery is by volunteers who interact regularly with a youth in a one-to-one relationship. Agencies use a case management approach, following through on each case from initial inquiry through closure. The case manager screens Applicants, makes and supervises the matches, and closes the matches when eligibility requirements are no longer met or either party decides they can no longer participate fully in the relationship.	Youth, ages 6 to 18, from single parent homes	<ul style="list-style-type: none"> ▪ About 33% less likely than control youth to hit someone 	Big Brothers Big Sisters www.bbbs.org
Olweus Bullying Prevention Program (BPP)	BPP is a universal intervention for the reduction and prevention of bully/victim problems. The main arena for the program is the school, and school staff has the primary responsibility for the introduction and implementation of the program. All students within a school participate in most aspects of the program. Additional individual interventions are targeted at students who are identified as bullies or victims of bullying.	Students in elementary, middle, and junior high schools	<ul style="list-style-type: none"> ▪ Reduction in reports of bullying and victimization ▪ Reduction in general antisocial behavior such as vandalism, fighting, theft and truancy 	Olweus Bullying Prevention Program www.olweus.org
Promoting Alternative Thinking Strategies (PATHS)	PATHS promotes emotional and social competencies and reducing aggression and behavior problems in elementary school-aged children. PATHS has been field-tested and researched with children in regular education classroom settings, as well as with a variety of special needs students (deaf, hearing-impaired, learning disabled, emotionally disturbed, mildly mentally delayed, and gifted).	Elementary school aged-children in the classroom	<ul style="list-style-type: none"> ▪ Decreased report of conduct problems, including aggression ▪ Increased ability to tolerate frustration 	Prevention Research Center www.prevention.psu.edu/projects/PATHS.html
The Incredible Years	The Incredible Years is a set of three comprehensive, multi-faceted, and developmentally-based curriculums for parents, teachers and children designed to promote emotional and social competence and to prevent, reduce, and treat behavior and emotion problems in young children. The program is aimed at children ages 2-10, at risk for and/or presenting with conduct problems (defined as high rates of aggression, defiance, oppositional and impulsive behaviors).	Children, ages 2 to 10, at risk for and/or presenting with conduct problems	<ul style="list-style-type: none"> ▪ Reductions in peer aggression in the classroom ▪ Reductions in conduct problems at home & school 	The Incredible Years www.incredibleyears.com In CA: California Institute for Mental Health; www.cimh.org

EVIDENCE-BASED CRIME AND VIOLENCE PREVENTION AND INTERVENTION PROMISING PROGRAMS

(Organized by greatest outcome)

PROMISING PROGRAMS	DESCRIPTION	TARGET POPULATION	OUTCOMES	FOR MORE INFORMATION
<i>Delinquency & Recidivism</i>				
Raising Healthy Children (RHC) (formerly Seattle Social Development Project)	This universal, multidimensional intervention decreases juveniles' problem behaviors by working with parents, teachers, and children. It incorporates both social control and social learning theories and intervenes early in children's development to increase pro-social bonds, strengthen attachment and commitment to schools, and decrease delinquency.	General population and high-risk children (those with low socioeconomic status and low school achievement) attending grade school and middle school	▪ 15.7% reduction in recidivism	University of Washington, Social Development Research Group J. David Hawkins, Ph.D. jd@u.washington.edu or sdrg@u.washington.edu
Family Integrated Transitions (FIT)	FIT provides integrated individual and family services to juvenile offenders who have mental health and chemical dependency disorders during their transition from incarceration back into the community. The goals of the FIT program include lowering the risk of recidivism, connecting the family with appropriate community supports, achieving youth abstinence from alcohol and other drugs, improving the mental health of the youth, and increasing pro-social behavior.	Youth, ages 10 to 17	▪ 10.2% reduction in recidivism	University of Washington, Dept. of Psychiatry & Behavioral Sciences, Division of Public Behavioral Health & Justice Policy Eric W. Trupin, Ph.D. trupin@u.washington.edu
Guiding Good Choices (GGC)	GGC is a family competency training program that promotes healthy, protective parent-child interactions and reduces children's risk for early substance use initiation. It is based on the social development model, which theorizes that enhancing protective factors such as effective parenting practices will decrease the likelihood that children will engage in problem behaviors.	Families of middle school children who resided in rural, economically stressed neighborhoods	▪ 7.2% reduction in recidivism	Channing-Bete Company http://www.channing-bete.com/ggc

TeamChild	A Washington State-based program providing legal (civil) and community advocacy services to juvenile offenders. TeamChild addresses the underlying causes of juvenile delinquency by advocating for education, mental & medical health services, safe living situations and other supports.	Juvenile offenders	<ul style="list-style-type: none"> ▪ 9.7% reduction in recidivism 	TeamChild, Inc. http://www.teamchild.org/
Parent-Child Interaction Therapy (PCIT)	PCIT is aimed at conduct-disordered young children, placing emphasis on improving the quality of the parent-child relationship and changing parent-child interaction patterns. In PCIT, parents are taught specific skills to establish a nurturing and secure relationship with their child while increasing their child's pro-social behavior and decreasing negative behavior.	Children, ages 2 to 7	<ul style="list-style-type: none"> ▪ 5.1% reduction in recidivism 	University of Florida Department of Clinical and Health Psychology http://pcit.php.ufl.edu/
Behavior Monitoring & Reinforcement Program (BMRP)	BMRP is a school-based intervention helps prevent juvenile delinquency, substance use, and school failure for high-risk adolescents. It targets juvenile cynicism about the world and the accompanying lack of self-efficacy to deal with problems. BMRP provides a school environment that allows students to realize that their actions can bring about desired consequences, and it reinforces this belief by eliciting participation from teachers, parents, and individuals. Students are eligible for inclusion if they demonstrate low academic motivation, family problems, or frequent or serious school discipline referrals.	The program can be used in both low-income, urban, and racially-mixed and middle-class, suburban junior high schools	<ul style="list-style-type: none"> ▪ Less self-reported delinquency, school-based problems and unemployment ▪ Fewer county court records than peers 	Graduate School of Applied and Professional Psychology, Rutgers University Brenna Hafer Bry, Ph.D. bbry@rci.rutgers.edu
Substance Use				
Striving Together to Achieve Rewarding Tomorrows (CASASTART)	CASASTART targets youth in high risk environments, and seeks to reduce their exposure to drugs and criminal activity. The program seeks to decrease individual, peer group, family and neighborhood risk factors through case management services, after-school and summer activities, and increased police involvement. CASASTART also works to improve attachment to adults, attachment to pro-social norms, school performance, and participation in pro-social activities/peer groups.	Youth, ages 11 to 13, living in severely distressed neighborhoods	<ul style="list-style-type: none"> ▪ Less likely to report use of any drugs, gateway drugs, or stronger drugs ▪ Lower levels of violent crime ▪ Less likely to be involved in drug sales 	CASASTART The National Center on Addiction and Substance Abuse at Columbia University www.casastart.org

Project Northland	Project Northland is a community-wide intervention designed to reduce adolescent alcohol use. The program includes six years of programming spanning seven academic years and is multi-level, involving individual students, parents, peers, as well as community members, businesses, and organizations.	6 th thru 12 th grade students from rural, lower-middle class to middle class communities	<ul style="list-style-type: none"> ▪ Decreased tendencies to use alcohol ▪ Less alcohol, cigarette and marijuana use 	Hazelden Publishing http://www.hazelden.org/web/go/projectnorthland
Strengthening Families (SFP)	SFP is a universal, family-based intervention which enhances parents' general child management skills, parent-child affective relationships, and family communication. Based on a developmental model, SFP assumes that increasing the family's protective processes while decreasing its potential risk factors can alter a child's future, so that problem behaviors can be reduced or avoided. In addition, the program seeks to delay the onset of adolescent alcohol and substance use by improving family practices.	6 th grade students and their families	<ul style="list-style-type: none"> ▪ Lower rates of alcohol initiation ▪ 30-60% relative reductions in alcohol use and being drunk 	Iowa State University, University Extension http://www.extension.iastate.edu/sfp/
Strong African American Families Program (SAAF)	SAAF is a family-centered program designed to prevent alcohol use and abuse among rural African American youth and improve the parenting practices of the significant caregivers responsible for them.	Rural African American youth, ages 10 to 12, and their primary caregivers	<ul style="list-style-type: none"> ▪ Reduced initiation of alcohol use & slowed increase in use over time ▪ Developed stronger youth protective factors 	Center for Family Research University of Georgia http://www.cfr.uga.edu/ Dr. Christina Grange cgrange@uga.edu

Antisocial Behavior

Good Behavior Game (GBG)	GBG is a classroom management strategy designed to improve aggressive/disruptive classroom behavior and prevent later criminality. It is implemented when children are in early elementary grades in order to provide students with the skills they need to respond to later, possibly negative, life experiences and societal influences.	Early elementary school children	<ul style="list-style-type: none"> ▪ Less aggressive and shy behaviors ▪ Better peer nominations of aggressive behavior ▪ Reduction in levels of aggression for males 	Hazelden Publishing http://www.hazelden.org/web/public/pax.page Claire Richardson claire@paxis.org
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Brief Strategic Family Therapy (BSFT)	BSFT adopts a structural family systems framework to improve youth's behavior problems by improving family interactions that are presumed to be directly related to the child's symptoms.	Children and adolescents between 8 and 17 years of age	<ul style="list-style-type: none"> ▪ Significant reductions in Conduct Disorder and Socialized Aggression 	Center for Family Studies Department of Psychiatry and Behavioral Sciences, University of Miami School of Medicine http://www.cfs.me.miami.edu/Docs/Training.htm
Fast Track	Fast Track is a comprehensive intervention from 1st through 6th grades for high-risk children and teens. The program is designed to prevent antisocial behaviors through the promotion of child competencies and improved school context, parent-school relationships, and parenting skills. Program components include a classroom curriculum, tutoring, home visiting, group skills training, mentoring, and various individualized services.	1 st thru 6 th graders living in rural and urban areas; boys and girls of varying ethnicity, social class, and family composition	<ul style="list-style-type: none"> ▪ Better overall ratings by observers on children's aggressive, disruptive, and oppositional behavior in the classroom. 	Fast-Track http://www.fasttrackproject.org
I CAN PROBLEM SOLVE	ICPS is a school-based intervention that trains children in generating a variety of solutions to interpersonal problems, considering the consequences of these solutions, and recognizing thoughts, feelings, and motives that generate problem situations.	All children, but especially effective for young (ages 4 to 5), poor, and urban students	<ul style="list-style-type: none"> ▪ Less impulsive and inhibited classroom behavior ▪ Better problem-solving skills 	Thinking Child Dr. Myrna B. Shure http://www.thinkingpreteen.com
Linking the Interests of Families and Teachers (LIFT)	LIFT is a school-based intervention for the prevention of conduct problems such as antisocial behavior, involvement with delinquent peers, and drug/alcohol use. The main goal of LIFT is to decrease children's antisocial behavior and increase their pro-social behavior.	1 st thru 5 th grade elementary school boys and girls and their families living in at-risk neighborhoods characterized by high rates of juvenile delinquency	<ul style="list-style-type: none"> ▪ Decrease in physical aggression on the playground ▪ Significant increase in positive social skills and classroom behavior 	Oregon Social Learning Center http://www.oslc.org (Go to "Projects," click on "LIFT")

CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CaIGRIP) PROGRAM 2010/11

PART IV – ATTACHMENTS

SUMMARY OF THE PAST PERFORMANCE POLICY

ATTACHMENT B

The following is a summary of Cal EMA's Past Performance Policy. A complete copy may be obtained by sending a written request to the Director of Grants Management at:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Gang Violence Section
Fax: (916) 323-9633

1. General Policy

This policy is intended to penalize existing recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with Cal EMA's advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.

Level B: 10% point reduction of total possible points from an Applicant's score.

3. Standard for Invoking A Penalty

The standard for invoking either penalty is dependent upon the recipient's compliance with grant terms and conditions (excluding minor incident(s) of noncompliance).

a. Serious Performance Problems Eligible For Consideration

Performance problems which would qualify under this policy include, but are not limited to:

- 1) significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) violation(s) of material statutory requirements related to the grant;
- 3) a willful or grossly negligent violation of a Cal EMA policy, or Terms of the Program, but **only after** the recipient had been provided:
 - a) technical assistance by Cal EMA, including a site visit if necessary, to remedy the violation;
 - b) at least one written notice (per violation); and
 - c) a reasonable opportunity to remedy the violation.

Written notice of serious performance problems will be provided to the recipient's executive officer. Failure to remedy the violation may negatively impact the recipient's eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for Cal EMA to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. Cal EMA must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) the seriousness of the problem;
- 2) whether the problem identified was intentional;
- 3) whether the problem revealed dishonest behavior by the Applicant;
- 4) whether the interests of the State or the public were harmed by the problem;
- 5) whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) whether the problem was documented objectively; and
- 7) whether Cal EMA attempted to assist the recipient in remedying the problem.

c. Specific Examples

Performance problems are considered on a case-by-case basis and take the totality of the circumstances into consideration. The following examples are not intended to be binding or restrictive of Cal EMA's authority to determine the appropriate penalty in a particular case:

- 1) Cal EMA conducts a visit of a project and makes the following findings:
 - a) the shelter failed to pay overtime on two occasions;
 - b) three timesheets did not contain a supervisor's approval; and
 - c) the project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the recipient takes steps to address the findings. Communication with the recipient four months later shows the findings have been corrected.

Penalty: None

- 2) One year ago, an audit discovered that a project employee embezzled \$300 of Cal EMA funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the recipient are known.

Penalty: Level B

- 3) A project has agreed to provide victim advocacy services in County X. The recipient spends \$40,000 on non grant related expenses and does not provide the services. This is documented in the site visit report. The project's Progress Reports to Cal EMA report that the services are being provided. Cal EMA refers the matter to the district attorney for prosecution, but no additional steps have yet to be taken.

Penalty: Level A

4. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to the Applicants that are denied funding due to past performance problem(s). The Applicant shall be provided with a summary of why the performance problem penalty was invoked. The Applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.

**CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CaIGRIP) PROGRAM
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RATING FORM

ATTACHMENT C

Control #: _____

Team #: _____

Rater #: _____

Applicant: _____

Funds Requested: _____

Enterprise Zone Preference Points: ☐ 2% ☐ 5% ☐ None

Evidence-Based Program Points: ☐ 15pts ☐ None

<u>CATEGORY</u>	<u>TOTAL POINTS POSSIBLE</u>
1. PROBLEM STATEMENT	<u>105</u>
2. PLAN AND IMPLEMENTATION	<u>165</u>
3. BUDGET	<u>30</u>
TOTAL	<u>300</u>

Each of the above categories contain questions assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The Applicant's response to each question is evaluated on the following criteria:

- I. ABSENT:** The response does not address the specific question or a response was not provided.
- II. UNSATISFACTORY:** The response does not completely address the question. The information presented does not provide a good understanding of Applicant's intent, does not give the detailed information requested by the RFP, and/or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** The response addresses the question and provides a good understanding of the Applicant's intent. The response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE:** The response is above average and provides a clear and detailed understanding of the Applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the program.
- V. EXCELLENT:** The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the program.

	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum 105 points)					
1.a. Gang and Youth Violence Problem					
1.a. To what extent does the Applicant describe a serious gang or youth violence problem affecting the community? This description should indicate whether, in what ways, and why the problem is getting better or worse (or holding steady). Applicants should describe the types of violence, other crimes and gang activity committed; how the violence and gangs impact various aspects of the community; and the causes of the violence.	4	8	12	16	20
1.a.i.-iv. To what extent does the Applicant support the description with a range of relevant statistical information (e.g., crime incidents; crime rates per capita; crime trends; gang-related crimes; number of gangs identified by law enforcement; number of gang members validated by law enforcement, etc.)? Does the Applicant include trend data and relevant comparisons to statewide statistics, or to those of similar jurisdictions, that aid in illustrating the extent of the problem? Is the two-year gang homicide data clearly identified? Does the Applicant provide the sources for all of its data?	4	8	12	16	20
1.b. Target Population					
1.b. To what extent does the Applicant describe the characteristics of the population to be targeted by this project, and explain why this population was selected? Does the Applicant include demographic information (age, gender, socio-economic status, education level, etc.) and describe the size of the target population?	3	6	9	12	15
1.b.i. To what extent does the Applicant include a discussion of relevant risk factors and challenges that affect this population?	2	4	6	8	10
1.b.ii.-iv. To what extent does the Applicant support the description with a range of relevant statistical information (e.g., demographic profiles; poverty levels; reports of child abuse; unemployment rates; adult or juvenile arrest rate; number of adults and/or youth on probation or parole; high school drop-out rates; high school academic performance index (API) scores; truancy rates; suspension/expulsion rates, etc.)? Does the Applicant include trend data and relevant comparisons to statewide statistics, or to those of similar jurisdictions, that aid in illustrating the needs of the target population? Does the Applicant provide the sources for all of its data?	4	8	12	16	20
1.c. Target Area					
1.c. Does the Applicant clearly define the geographical boundaries of the area that will be targeted by the project, and does that target area include at least a portion of the Applicant city?	2	4	6	8	10

	I	II	III	IV	V
1.c.i. To what extent does the Applicant discuss reasons the target area was selected, over and above the characteristics of the target population? This could include descriptors related to environment or infrastructure, such as: land-locked by freeways, high concentration of liquor stores, lack of recreational facilities, parks where gangs congregate, etc.	2	4	6	8	10
2. PLAN AND IMPLEMENTATION (Maximum 165 points)					
2.a. Planned Approach					
2.a. To what extent does the Applicant describe the proposed project and explain how it will address the gang or youth violence problems identified in the Problem Statement? To what extent does the Applicant explain whether the strategy is considered primarily prevention, intervention, reentry, education, job training and skills development, family and community services, suppression, or a combination thereof?	3	6	9	12	15
2.a.i. To what extent does the Applicant include the following components in its description: <ul style="list-style-type: none"> • What kinds of services will be provided? • Who will provide the services? • How they will identify and recruit individuals from within the target population to receive services? • How many individuals will receive services? • How they will track the progress of individuals that receive services? 	4	8	12	16	20
2.a.ii. To what extent does the Applicant demonstrate the use of a coordinated, regional approach, among a broad array of agencies?	1	2	3	4	5
2.a.iii. To what extent does the Applicant identify a set of quantifiable objectives (e.g., 50 at-risk youth will be provided wraparound case management services; 60 students at-risk of gang involvement will receive tutoring and vocational training, 50 gang members will be targeted through enforcement operations, etc.)? Are the objectives reasonable and aligned with the project description? Did the Applicant provide a reasonable and comprehensive timeline?	4	8	12	16	20
2.b. Expected Outcomes					
2.b. To what extent does the Applicant identify and describe measurable outcomes that correlate to the objectives identified in Section A.2.1 (e.g., school attendance rate will improve by 50 percent for youth receiving case management services; gang-related incidents reported by police and school personnel will be reduced by 50 percent for students participating in tutoring, etc.)?	4	8	12	16	20

	I	II	III	IV	V
2.b.i.-ii. To what extent does the Applicant include a reasonable explanation of how project staff will track outcomes to determine if the project is progressing as planned and on schedule? To what extent has the Applicant planned for meaningful reporting of that information? To what extent does the Applicant illustrate a clear connection between project objectives, activities or services and measurable outcomes?	2	4	6	8	10
2.c. Project Implementation					
2.c. To what extent does the Applicant describe agency roles and responsibilities within the scope of the proposed project, clearly identifying the agency that will have lead responsibility for implementing the proposed project and describing how that agency will carry out the proposed plan?	3	6	9	12	15
2.c.i.-ii. To what extent does the implementing agency's organizational structure – including proposed staffing for this project – support its ability to achieve the objectives and outcomes? Does the organizational chart support this description? To what extent does the Applicant demonstrate that prospective project staffs have sufficient experience in working with the target population?	2	4	6	8	10
2.c.iii.-iv. To what extent do partner agencies/organizations take an active part in carrying out or administering the proposed project? To what extent does the Applicant identify the CBOs they plan to partner with (or the process they will use to identify CBOs) and describe in detail the services they will provide (to meet the 20 percent requirement)? Does the "Partner Roles and Responsibilities Chart" support the Applicant's narrative description of how other agencies/organizations will participate in the grant project?	3	6	9	12	15
2.c.v. To what extent do the signed Operational Agreements (see Glossary for definition) for each of the partner agencies/organizations listed provide details documenting the specific agreements between them and the implementing agency?	3	6	9	12	15
2.d. Coordinating and Advisory Council					
2.d.i. Does the Applicant identify the membership of the advisory council, and are required members included (city officials; local law enforcement, including the chief of police, county sheriff, chief probation officer and district attorney; local educational agencies, including school districts and the county office of education; and, community-based organizations)? Does the membership roster support this statement?	2	4	6	8	10
2.d.ii.-iii. Does the Applicant explain the role of the advisory council in developing the project proposal? Does the Applicant describe how the advisory council will monitor progress and hold the implementing agency accountable to the project objectives and outcomes?	2	4	6	8	10

	I	II	III	IV	V
3. BUDGET, including Budget Narrative (Maximum 30 points)					
3.1. Budget Narrative					
<p>3.1. How well does the budget narrative support the objectives, activities and outcomes described in the Project Narrative, as well as and the intent and requirements of the CalGRIP program? How well did the Applicant address the following issues?</p> <ul style="list-style-type: none"> • How funds are allocated to minimize administrative costs and support direct services. • How many CBOs they will partner with and what services they provide (to meet the 20 percent requirement). • The duties of project-funded staff, including qualifications or education level necessary for the job assignment. • How project-funded staff duties and time commitments support the proposed objectives and activities. • Proposed staff commitment/percentage of time to other efforts, in addition to the time allocated to this project. • The necessity for subcontracts and unusual expenditures. 	3	6	9	12	15
3.2. Specific Budget Categories					
<p>3.2. How well are the funds allocated in the Budget Category Forms? How well do the line items support the plan, objectives, activities and outcomes described in the Project Narrative? Did the Applicant clearly show that 20 percent of grant funds requested will be allocated to one or more community-based organizations?</p>	3	6	9	12	15

**CALIFORNIA GANG REDUCTION, INTERVENTION AND PREVENTION (CalGRIP) PROGRAM
2010/11**

GLOSSARY OF TERMS

ATTACHMENT D

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet (Cal EMA 2-101) is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals. The Recipient was formerly referred to as the "Grantee."
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal EMA becomes the application. This application, once signed by Cal EMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement (Cal EMA 2-101).
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal EMA in verifying that Recipients are in compliance with State and Federal Civil Rights Laws.
Grant Award Agreement	The signed final agreement between Cal EMA and the local government agency or organization authorized to accept grant funding. (See Application).
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal EMA 2-101).

Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the Cal EMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances).
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for Recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <p>(1) Proof that the Internal Revenue Service recognizes the Applicant has the status of a 501(c)(3).</p> <p>(2) A statement from a State taxing body or the State Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual:</p> <p>(3) A certified copy of the Applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the Applicant; or</p> <p>(4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the Applicant is a local nonprofit affiliate.</p>
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
On Site	Refers to the location of operation of the grant award Recipient. If multiple sites exist, the site that provides the project Recipients with program direction qualifies as the "on site location."
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.

Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to Cal EMA that specified the priorities, strategies, and objectives of the Applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.calema.ca.gov . Look on the right side of the Cal EMA homepage under 'Quick links' for the "Criminal Justice Programs Recipient Handbook" or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks." The <i>Recipient Handbook</i> was previously called the <i>Grantee Handbook</i> .
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal EMA to obtain applications from Applicants previously selected for funding.
Request for Proposal (RFP)	The RFP is issued by Cal EMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid."
Sole Source	This term has been replaced by the term "noncompetitive bid."
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal EMA funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal EMA funds with Cal EMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, Cal EMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of the <i>Recipient Handbook</i> , the terms of the program shall be interpreted and construed as superseding the provisions of the <i>Recipient Handbook</i> .
USC	United States Code